

04-10-00

A Base

**UTILITY PATENT APPLICATION TRANSMITTAL
(Small Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
CEDAR-044526Total Pages in this Submission
70**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**TRANSDIFFERENTIATION OF TRANSFECTED EPIDERMAL BASAL CELLS INTO NEURAL
PROGENITOR CELLS, NEURONAL CELLS AND/OR GLIAL CELLS**

and invented by:

Michel F. Lévesque and Toomas Neuman

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

- ☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/234,332
Filed: 01/20/99
- WHICH CLAIMS PRIORITY FROM:
- European Patent:
00101100.6
Filed: 01/20/00
- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 2000-048291
Filed: 01/20/00
- AND
- Japanese Patent:
2000-048291
Filed: 01/20/00

Enclosed are:

Application Elements

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 43 pages and including the following:
 - a. ☒ Descriptive Title of the Invention
 - b. ☒ Cross References to Related Applications (if applicable)
 - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
 - d. ☐ Reference to Microfiche Appendix (if applicable)
 - e. ☒ Background of the Invention
 - f. ☒ Brief Summary of the Invention
 - g. ☒ Brief Description of the Drawings (if drawings filed)
 - h. ☒ Detailed Description
 - i. ☒ Claim(s) as Classified Below
 - j. ☒ Abstract of the Disclosure

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(Small Entity)

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CEDAR-044526

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Application Elements (Continued)

3. ☐ Drawing(s) *(when necessary as prescribed by 35 USC 113)*
a. ☐ Formal b. ☒ Informal Number of Sheets 1
4. ☒ Oath or Declaration
a. ☒ Newly executed *(original or copy)* ☐ Unexecuted
b. ☐ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
c. ☐ With Power of Attorney ☐ Without Power of Attorney
d. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference *(usable if Box 4b is checked)*
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under
Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission *(if applicable, all must be included)*
a. ☒ Paper Copy
b. ☒ Computer Readable Copy
c. ☒ Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. ☒ Assignment Papers *(cover sheet & documents)*
9. ☒ 37 CFR 3.73(b) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
☐ First Class ☒ Express Mail *(Specify Label No.):* EL 349 964 480 US

UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
CEDAR-044526

Total Pages in this Submission
70

Accompanying Application Parts (Continued)

15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: 1

17. ☐ Additional Enclosures (please identify below):

POWER OF ATTORNEY

Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	27	- 20 =	7	x \$9.00	\$63.00
Indep. Claims	4	- 3 =	1	x \$39.00	\$39.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$345.00
OTHER FEE (specify purpose) <u>Recordation Fee of Assignment</u>					\$40.00
TOTAL FILING FEE					\$487.00

- ☒ A check in the amount of _____ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 16-2460 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: April 7, 2000


Signature

Nisan A. Steinberg, Ph.D.
Registration No. 40,345
PRETTY, SCHROEDER & POPLAWSKI, P.C.
444 South Flower Street - 19th Floor
Los Angeles, CA 90071-2909
213/622-7700
213/489-4210

cc:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No.
Applicant(s): Michel F. Levesgaue and Toomas Neuman			CEDAR-044526
Serial No. UNASSIGNED	Filing Date APRIL 7, 2000	Examiner UNKNOWN	Group Art Unit 1
Invention: TRANSDIFFERENTIATION OF TRANSFECTED EPIDERMAL BASAL CELLS INTO NEURAL PROGENITOR CELLS, NEURONAL CELLS AND/OR GLIAL CELLS			jc675 U.S. PTO 09/545428 04/07/00
<p>I hereby certify that this <u>Verified Statement Claiming Small Entity Status</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>04/07/00</u> (Date)</p> <p><u>Ann Weiss</u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u>[Signature]</u> (Signature of Person Mailing Correspondence)</p> <p><u>EL 349 964 480 US</u> (Express Mail Mailing Label Number)</p>			

Note: Each paper must have its own certificate of mailing.

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No.
Applicant(s): Michel F. Lévesque and Toomas Neuman			CEDAR-044526
Serial No. UNASSIGNED	Filing Date APRIL 7, 2000	Examiner UNKNOWN	Group Art Unit --
Invention: TRANSDIFFERENTIATION OF TRANSFECTED EPIDERMAL BASAL CELLS INTO NEURAL PROGENITOR CELLS, NEURONAL CELLS AND/OR GLIAL CELLS			
<p>I hereby certify that this <u>Power of Attorney</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p><u>04/07/00</u> (Date)</p> <p><u>Ann Weiss</u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u>[Signature]</u> (Signature of Person Mailing Correspondence)</p> <p><u>EL 349 964 480 US</u> ("Express Mail" Mailing Label Number)</p>			
<p>Note: Each paper must have its own certificate of mailing.</p>			

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (d)) - NONPROFIT ORGANIZATION**

Docket No.
CEDAR 044526

Serial No.
NOT ASSIGNED

Filing Date
HEREWITH

Patent No.
--

Issue Date
--

Applicant/
Patentee: Michel F. Lévesque and Tomas Neuman

Invention: **TRANSDIFFERENTIATION OF TRANSFECTED EPIDERMAL BASAL CELLS INTO NEURAL
PROGENITOR CELLS, NEURONAL CELLS AND/OR GLIAL CELLS**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: CEDARS-SINAI MEDICAL CENTER

ADDRESS OF ORGANIZATION: 8700 Beverly Boulevard
Los Angeles, CA 90048
TYPE OF NONPROFIT ORGANIZATION:

- ☐ University or other Institute of Higher Education
- ☒ Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
- ☐ Nonprofit Scientific or Educational under Statute of State of The United States of America
Name of State: _____ Citation of Statute: _____
- ☐ Would Qualify as Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3)) if Located in The United States of America
- ☐ Would Qualify as Nonprofit Scientific or Educational under Statute of State of The United States of America if Located in The United States of America
Name of State: _____ Citation of Statute: _____

I hereby declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification to be filed herewith.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

FULL NAME

ADDRESS

☐ Individual☐ Small Business Concern☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

PETER E. BRAVEMAN, ESQ.

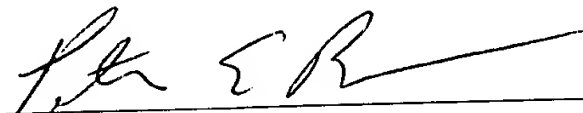
TITLE IN ORGANIZATION:

Senior Vice President for Legal Affairs and General Counsel

ADDRESS OF PERSON SIGNING:

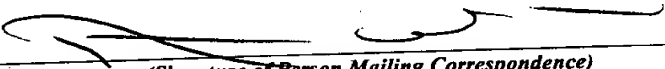
CEDARS-SINAI MEDICAL CENTER8700 Beverly BoulevardLos Angeles, CA 90048-1865

SIGNATURE:



DATE:

4/4/00

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): Michel F. Lévesque and Toomas Neuman			Docket No. CEDAR-044526
Serial No. UNASSIGNED	Filing Date APRIL 7, 2000	Examiner UNKNOWN	Group Art Unit --
Invention: TRANSDIFFERENTIATION OF TRANSFECTED EPIDERMAL BASAL CELLS INTO NEURAL PROGENITOR CELLS, NEURONAL CELLS AND/OR GLIAL CELLS			
<p>I hereby certify that this <u>Certificate Under 37 C.F.R. 3.73(b) Establishing Right of Assignee to Prosecute</u> (Identify type of correspondence)</p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>04/07/00</u> (Date)</p> <p><u>Ann Weiss</u> (Typed or Printed Name of Person Mailing Correspondence)</p> <p><u></u> (Signature of Person Mailing Correspondence)</p> <p><u>EL 349 964 480 US</u> (Express Mail Mailing Label Number)</p>			
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CEDAR 044526

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Michel F. Lévesque and Toomas Neuman
Serial No. Not Assigned
Filed: Herewith
For: **TRANSDIFFERENTIATION OF TRANSFECTED EPIDERMAL
BASAL CELLS INTO NEURAL PROGENITOR CELLS,
NEURONAL CELLS AND/OR GLIAL CELLS**
Examiner: Unassigned
Unit: --

**CERTIFICATE UNDER 37 C.F.R. 3.73(b)
ESTABLISHING RIGHT OF ASSIGNEE TO PROSECUTE**

BOX NEW PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D. C. 20231

CERTIFICATE OF MAILING	
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO BOX NEW PATENT APPLICATION, ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D. C. 20231.	
ON _____	DATE _____
BY _____	_____
(DATE OF SIGNATURE)	

Sir:

Cedars-Sinai Medical Center
certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of chain of title from the inventor, of the patent application identified above, to the current assignee as shown below:

1. From: Michel F. Lévesque and Toomas Neuman
To: Cedars-Sinai Medical Center

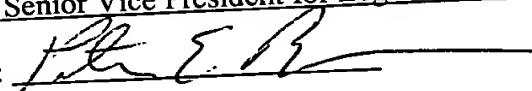
The document is being filed herewith with the Patent and Trademark Office. A copy thereof is attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 4/4/10
Name: Peter E. Braveman, Esq.

Title: Senior Vice President for Legal Affairs and General Counsel

Signature: 

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **Michel F. Lévesque and Toomas Neuman**

Docket No.

CEDAR-044526Serial No.
UNASSIGNEDFiling Date
APRIL 7, 2000Examiner
UNKNOWNGroup Art Unit
1

Invention:

**TRANSDIFFERENTIATION OF TRANSFECTED EPIDERMAL BASAL CELLS INTO
NEURAL PROGENITOR CELLS, NEURONAL CELLS AND/OR GLIAL CELLS**JC675 U.S. PTO
09/545428
04/07/00I hereby certify that this Assignment (Identify type of correspondence)

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04/07/00
(Date)

Ann Weiss

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)EL 349 964 480 US

("Express Mail" Mailing Label Number)

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